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11

State Water Project Emergency Action Plan

11.1 INTRODUCTION

The Department of Water Resources (DWR) performs numerous water resources planning and management activities throughout California and is responsible for protecting life and property from emergencies caused by catastrophic events such as flood, drought, and dam or levee failure. An extensive and complex emergency planning and management system, which starts at the statewide level and includes individual State agencies and departments, addresses these situations and ensures that appropriate actions are taken.

Emergency Action Plans (EAPs) and their implementation at the DWR field level are the focus of this chapter because of their relevance to State Water Project (SWP) operations and its ability to function during emergency situations. Although too complex to describe fully here, EAPs are actually a part of a much larger overarching structure that includes the DWR Recovery Action Plan (RAP) and the Emergency Response Plan (ERP). These plans and their relationship to the overall emergency management structure are discussed in more detail below.

This chapter presents a brief summary of the structure that includes the major related plans and processes that guide EAPs for the SWP. A regulatory overview and description of authority is presented, and the overall emergency management system structure is briefly described. Related emergency planning documents are presented, and finally, there is a description of a typical EAP.

11.2 REGULATORY OVERVIEW AND AUTHORITY

During a state of emergency of any type (local, state, or war), the Governor has authority over all State government agencies, as provided in the California Emergency Services Act, through the State Emergency Plan (SEP). The SEP and the Governor's Office of Emergency Services (OES) form the overarching authority and foundation for the emergency management system in California and DWR. The SEP and Section 128 of the California Water Code also give DWR certain responsibilities and authorities during State or federal emergency proclamation.

The Emergency Services Act authorizes the Governor to proclaim a state of emergency when conditions of a disaster are of extreme peril to citizens and/or their property. Such disasters include fire, flood, storm, drought, earthquakes, severe energy shortages, or other conditions beyond the resources of local agencies. OES performs executive functions assigned by the Governor, and its Director coordinates the State's disaster preparedness and response activities with representatives of State agencies under the authority of the Emergency Services Act and Executive Order W-9-91 (DWR 2000).

OES maintains the SEP, which outlines the organizational structure for State management of response to natural and man-made disasters. OES assists local governments and other State agencies in developing their own emergency preparedness and response plans, in accordance with the SEP, for earthquakes, floods, fires, hazardous material incidents, nuclear power plant emergencies, and dam breaks (OES 1999). The SEP lists responsibilities and protocols required of State agencies regarding response and provision of resources during an emergency (Fong pers. comm. 2001). OES also performs its functions in accordance with the Standardized Emergency Management System (SEMS), which was established by Senate Bill 1841 in 1992 after the 1991 East Bay Hills Fire in Oakland. The intent of this law was to improve the coordination of State and local emergency response, and it required all State agencies to incorporate this system by 1 December 1996 (DWR 2000).

An integral part of the emergency planning and management system that enables all subsequent plans

operating below the SEP are Administrative Orders (AOs). During an emergency, OES is the designated coordinator and assigns functions to State agencies before and during an emergency through AOs. These are agreements between OES and the State agencies that are assigned functions before and during an emergency. The AO for DWR (dated 5 March 2001) describes the general roles of OES and State agencies and specific responsibilities of DWR for emergency procedures, continuity of government and business, and preparedness and response activities. Some of the specific activities include:

- Working closely with the CHP, FBI, and other appropriate entities to protect SWP facilities from harm or destruction;
- Maintaining a comprehensive emergency response plan in conformance with the SEP;
- Mitigating the effects of an incident on the SWP; and
- Continuing to operate the State's flood control works and the SWP.

DWR is the lead agency in providing expertise for flood emergency response through its Division of Flood Management, Flood Operations Center, and for dam safety response through the Division of Safety of Dams, as provided in Section 128 of the California Water Code (DWR 2000). As set forth in the regulations and Water Code provisions, DWR has 6 major responsibilities:

- 1) Planning and managing statewide water resources;
- 2) Developing, operating, and maintaining the SWP;
- 3) Protecting the Sacramento-San Joaquin Delta;
- 4) Providing dam safety, flood management, and emergency assistance;
- 5) Educating the public; and
- 6) Providing local assistance.

11.3 DESCRIPTION OF THE EMERGENCY MANAGEMENT SYSTEM STRUCTURE

As previously stated, the SEP and the OES form the overarching authority and foundation for DWR's emergency management system. Following this authority, the ERP and the Business Resumption Plan (BRP) are the main documents guiding emergency actions most relevant to DWR and the SWP for the purposes of the sanitary survey. These plans and their relationship to the overall emergency management structure are presented in Figure 11-1.

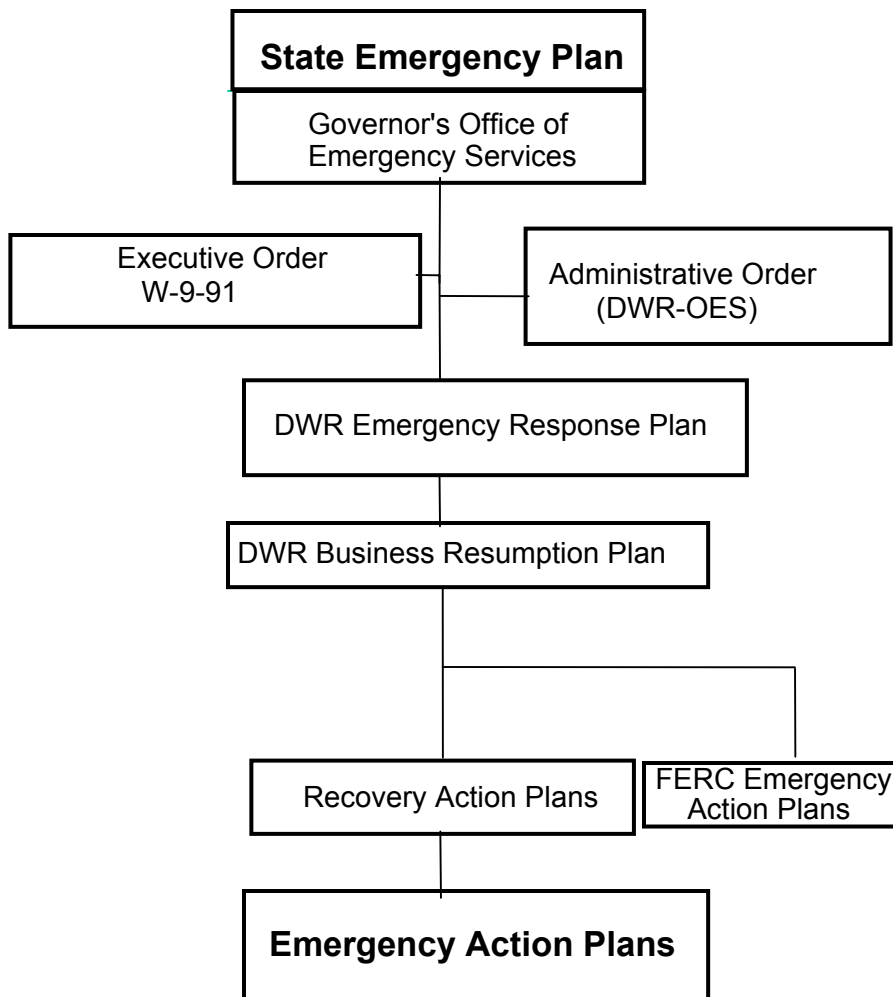
The ERP is the DWR master plan that incorporates the emergency plans of department units and describes the emergency management organization and responsibilities for protecting lives and property.

The ERP is mandated by government code and the SEP, which requires each agency to submit an ERP to OES and explain what it will do to provide resources and how critical business will be resumed (Fong pers. comm. 2001). The ERP also describes critical functions of DWR, including the management of essential resources, coordination of emergency response and preparedness, and communication within DWR and with OES (DWR 2000). Along with the BRP, which is discussed below, the ERP is the main document forming the overarching structure for the EAPs. Specifically, the ERP:

- Establishes and maintains guidelines for division and district/field offices for responding to emergencies (that is, preparation and execution of EAPs);
- Outlines how DWR will respond to and manage flood and dam emergencies, incidents on the SWP, acts of terrorism and war, and provide the necessary support to other State agencies during catastrophic events, especially OES;
- Identifies the organization and functions that DWR staff may be assigned to during an emergency using the SEMS concept;
- Outlines the responsibilities of key DWR staff; and
- Integrates essential emergency organizations.

The ERP also incorporates coordination with other federal, State, and local authorities and, at a minimum, is revised annually.

The BRP contains the overall structure and process for addressing business recovery and resumption, including specific plans for critical functions, remote facilities, and major departmental organizations. Its relationship to the other plans and programs is presented in Figure 11-1. The BRP is a confidential document prepared by DWR in July 1999. Because the State would be greatly affected if the DWR were unable to recover and resume business functions following a disaster or during an emergency, the BRP establishes a process that DWR will follow to recover after a catastrophic event.

Figure 11-1 Emergency Planning and Management Structure

Adapted from Fong pers. comm. 2001; DWR 2000

The BRP includes a business analysis listing critical operations and functions, an impact analysis of potential risks and operational impacts, and a detailed recovery strategy. This document is not mandated by law and, like the ERP, is updated annually. The BRP follows SEMS and defines functions, necessary support, decision-making processes, and notification processes. SEMS defines the function of management, operations, planning/intelligence, logistics, and finance/administration during emergency actions. It is used to develop emergency plans and procedures, especially for response to emergencies involving multiple jurisdictions or agencies.

Following the structure presented in Figure 11-1, major components of BRPs are RAPs and field division EAPs, along with the EAPs of the Federal Energy Regulatory Commission (FERC) (DWR 2000). Each division and district office of DWR uses its RAP, along with the EAPs, to provide specific guidance for critical systems and functions of facilities, contacts, actions to take, etc., and interdependency with other agencies.

The EAPs are more specific and contain detailed information on notice procedures within departments, which agencies will do what tasks for different types of emergencies, protocols to handle them, and who will do them. There are 5 DWR field divisions, and the EAP formats are the same and include basic emergency response procedures and concepts for including specific field position assignments, notification flow charts, actions to be taken, and reference information. Specific emergencies addressed in the EAPs include earthquakes, fires, bomb threats, floods, dam or aqueduct failures, hazardous materials spills, civil disturbances, death or injury, and equipment malfunctions affecting delivery of water. More information is provided in Section 11.6, "Description of a Typical DWR Field Division EAP."

11.4 DWR EAP RESPONSIBILITY AND PROCEDURES

The Operations Control Office of DWR's Division of Operations and Maintenance (O&M) has overall responsibility for coordinating SWP operations. The 5 field divisions provide support to the operation and maintenance of SWP facilities. Standard operating orders are an important component of proper operation of the SWP; they provide a consistent procedure for carrying out key tasks and reliable operation of SWP facilities. Orders range from detailed instructions on unit operations to criteria and actions for emergency operation of flood control facilities and notification of affected entities through

the EAP. Orders exist for each field division and for the Project Operations Center (POC)/Flood Operations Center at 3310 El Camino Avenue in Sacramento (DWR 2000).

SWP emergencies are declared by staff following directions contained in each field division's EAP. In each field division EAP, a section provides detailed information, criteria, and actions to declare an emergency incident and mobilize a response. The specific incidents covered were described previously. Emergencies can be unique to a particular field division. Once an SWP emergency is declared, a field division coordinates with a designated emergency operations center to assess the situation and form an incident command structure to meet specific response requirements (DWR 2000). An emergency operations center is where centralized emergency management can be carried out, such as the POC.

11.5 RELATED EMERGENCY PLANNING DOCUMENTS

In addition to the ERP and the BRP, there are other important emergency management plans and documents related to the EAP. The DWR Division of Flood Management's *Flood Emergency Manual* describes the coordination of responsibilities between local agencies and OES for responding to flood emergencies under the SEMS. It also describes coordination with the United States Army Corps of Engineers (USACE) under separate memorandum.

Coordination with federal agencies is a major component of DWR's emergency management system. Operation and maintenance of the SWP require coordination with FERC and the United States Bureau of Reclamation (USBR). FERC licenses and regulates power generation facilities and related project features. USBR jointly owns a portion of the SWP known as the San Luis Canal Joint-Use Facilities (aqueduct section 3 in Chapter 8). The SWP joint-use facilities—which include O'Neill Forebay, San Luis Reservoir and Sisk Dam, Los Banos Reservoir, and the San Luis Canal—are part of O&M's San Luis Field Division. Its EAP directs staff to coordinate with USBR field staff when conditions occur that could lead to emergency action (DWR 2000).

Most of the facilities owned by the SWP and their related project features are regulated by FERC. FERC requires that EAPs be prepared to their guidelines and that periodic exercises in emergency response be conducted. FERC would be notified of an emergency and of DWR's response to it. The Oroville complex in the Oroville Field Division and Warne E. William Power Plant and Mojave Power

Plant in Southern Field Division are under the jurisdiction of FERC and have EAPs that cover federal emergency response requirements.

11.6 DESCRIPTION OF A TYPICAL DWR FIELD DIVISION EAP

As previously stated, the purpose of an EAP is to provide comprehensive, easy to follow, and up-to-date information to persons responding to emergencies for a specific field division. The EAP also serves as a reference for emergency training. The EAP is intended to help save lives and reduce property damage in a hydrologic or nonhydrologic event in the SWP. The EAP provides guidance in mobilizing available resources in the most expeditious way in order to manage an emergency.

EAPs for each of the 5 field divisions of the SWP follow essentially the same format. The standardized format serves 2 main purposes.

- 1) Personnel transferring from one field division to another are able to more readily understand the EAP at their new location; and
- 2) A consistent format expedites the response of the POC to an emergency in any particular field division because dispatchers know where to look for information within that field division's EAP.

Area Control Centers (ACCs) are linked to the POC and share operational responsibility. The present format was recommended in the initial sanitary survey of the State Water Project conducted in 1990 (Lavery 1990). Copies of field division EAPs are kept at the POC and all ACCs.

The EAP is divided into 5 parts: Basic Information, Emergency Response, Appendices, Enclosures, and Oversized References. Part 1, Basic Information, includes background information and guidance for EAP implementation. Part 2, Emergency Response, contains specific emergency response procedures. These are not expected to change much over time. Part 3, Appendices, contains information that may require updating occasionally. Items such as descriptions of aqueduct check structures, reporting forms, and turnout summaries are contained as appendices. Part 4, Enclosures, includes information that will be frequently updated (names, phone numbers, etc.). Part 5, Oversized References, contains foldout maps and facility lists.

The San Luis Field Division EAP was reviewed and serves to illustrate a typical EAP (DWR 2000a). Information includes details of dams, sections of the aqueduct, generating plants, and other specific structures in the San Luis Field Division. Detection, decision-making, and notification during emergencies

are described. Descriptions include routine methods and procedures that will be implemented to detect abnormal structural or hydrologic conditions, notification of appropriate downstream entities, and how to provide information to the public and the media. Detection is the discovery phase that reveals that a hydrologic or nonhydrologic incident has occurred at 1 of the facilities under the jurisdiction of the field division. Decision-making is the analytical process to determine the severity and extent of the incident. Notification is the process of informing downstream public safety officials and other appropriate agencies elsewhere that an event has occurred. Evacuation plans and implementation are the responsibility of downstream local authorities within their respective jurisdictions. The EAP contains inserts that address specific hazards for each facility and outline responsibilities and procedures that downstream local authorities would implement in response to emergency events affecting their jurisdictions.

The emergency response procedure for a particular event consists of a core set of directives, which may reference additional procedures in other parts of the EAP. The EAP should be as self-contained as possible in order to shorten response time.

11.7 EMERGENCY ACTION PLAN MAINTENANCE PROCEDURE

To be effective, the EAP must be current. The format is designed to facilitate updating by placing information that requires frequent changes in a specific section. Section 1 (Basic Information) and Section 2 (Emergency Response) should require little updating. Section 3 (Appendices) may require occasional updating. Section 4 (Enclosures) and Section 5 (Oversized References) contain information that must be updated most frequently.

Each field division is responsible for updating the major sections of its EAP. Section maintenance is the responsibility of the Civil Maintenance Branch of O&M. However, information in certain EAP sections originates from DWR Headquarters, which is better suited to mesh that information with other Departmental and State operations. Copies of the revised plans are sent to all holders of the EAP with instructions to replace outdated pages with the revised pages. A list of the holders of the EAP for each Field Division is provided in each EAP.

11.8 EMERGENCY ACTION PLAN MAINTENANCE RESPONSIBILITY

DWR's O&M Field Division emergency command coordinator and the Civil Maintenance Branch are responsible for updating the EAP by 1

July of each year. The EAP also receives additional review during the annual inspection by the Civil Maintenance Branch.

11.9 EMERGENCY MANAGEMENT AND DUTIES

Unusual events in the SWP are classified into 3 general categories in order to help define the required response:

- 1) Incident,
- 2) Emergency, and
- 3) Disaster.

11.9.1 SWP INCIDENT

An incident is an occurrence that affects the integrity of some portion of the SWP. Although it requires action beyond the routinely prescribed maintenance and repair procedures, an incident is within the capabilities and authority of normally assigned SWP personnel. An SWP incident does not constitute an emergency and will be dealt with by intensified field division effort.

11.9.2 SWP EMERGENCY

An emergency is any occurrence that involves actual or potential damage to SWP facilities, personnel, or to the general public. It cannot be resolved in a timely manner without using procedures beyond those available in the normal operation and maintenance of the division. SWP emergency status exists until remedial actions to resolve the emergency are completed. An SWP emergency status activates procedures contained in the EAP and invokes special emergency fiscal procedures. Emergencies in the SWP are classified into 3 categories, Class 1, Class 2, and Class 3.

11.9.2.1 Class 1 Emergency

A Class 1 emergency is within the capabilities of the specific field division where the event occurred and does not materially affect operations in any other field division. It may require the use of private contractors under field division direction and the use of exempt fiscal authority up to a maximum commitment of \$50,000. The field division chief or the designated alternate can declare a Class 1 Emergency.

11.9.2.2 Class 2 Emergency

A Class 2 emergency requires the use of exempt fiscal authority up to a maximum commitment of \$500,000. It is declarable by the O&M division chief or the designated alternate. However, it will probably require coordination with OES' State Operations Center and the use of private contractors under field division direction.

11.9.2.3 Class 3 Emergency

A Class 3 emergency requires the use of exempt fiscal authority and financial commitments in excess of \$500,000. It is declared only on the authority of DWR's Director. It requires coordination with OES and other involved agencies.

11.9.3 SWP DISASTER

A disaster results in major damage to SWP facilities and is beyond the physical or financial resources of the SWP. A disaster will generally involve a major reevaluation of the impacted site and interrelated SWP facilities. It will also probably require Legislative authorization of special funding.

11.10 EMERGENCY DUTIES OF FIELD DIVISION PERSONNEL

11.10.1 FIELD DIVISION CHIEF

The field division chief is responsible for overall planning of emergency operations and for representing the division on decisions that require O&M Headquarters approval. The field division chief shall determine if an O&M Headquarters investigation is required pursuant to O&M Project Instruction OP-24. If so, the field division chief shall notify the chief of the Water and Plant Engineering Office as soon as practicable, but no later than 24 hours of the occurrence of the incident. Such notification may be channeled through the ACC and POC to expedite contact.

11.10.2 EMERGENCY COMMAND COORDINATOR

The field division chief assigns the emergency command coordinator to a particular individual, usually the hydroelectric plant operations superintendent. The emergency command coordinator is in charge of the Field Division Command Post and coordinates all activities associated with an SWP emergency or disaster. The emergency command coordinator is also responsible for maintenance of the EAP.

11.10.3 HYDROELECTRIC PLANT OPERATIONS SUPERINTENDENT

The hydroelectric plant operations superintendent is responsible for all operations involving plants, aqueducts, and reservoirs. Any work that affects system operation will be coordinated through this position.

11.10.4 CHIEF HYDROELECTRIC PLANT OPERATOR

The chief hydroelectric plant operator is responsible for the operation of plants, control of the remote operation of check structures, and the operation of the ACC.

11.10.5 AREA CONTROL CENTER SENIOR OPERATOR

The ACC senior operator is responsible for notifying the chief hydroelectric plant operator, the POC, and the hydroelectric plant operations superintendent of conditions affecting the system. This information is used to determine if the procedure specified in the EAP is to be put into action. If necessary, the POC informs other field divisions affected by the emergency. All instructions to field division personnel for the operation of plant units or gate operations come through the ACC senior operator.

11.10.6 CIVIL MAINTENANCE SUPERINTENDENT

The civil maintenance superintendent is responsible for determining personnel, supplies, and equipment needed in the impacted area. Decisions are coordinated with the hydroelectric plant operations and hydroelectric plant maintenance superintendents.

11.10.7 HYDROELECTRIC PLANT MAINTENANCE SUPERINTENDENT

The hydroelectric plant maintenance superintendent is responsible for assigning mechanics, electricians, or technicians to the affected plant or aqueduct check. If required, the work is coordinated with the hydroelectric plant operations superintendent or the civil maintenance superintendent.

11.10.8 SUPERVISING POWER O&M ENGINEER

The supervising power O&M engineer is responsible for assigning field division Engineering Branch staff for technical support during an emergency. Staff assignments are coordinated with other superintendents and the emergency command coordinator.

11.10.9 REGIONAL ADMINISTRATIVE OFFICER

The regional administrative officer is responsible for procuring emergency funds, supplies, and services such as aerial flights. The person is also

responsible for providing security and for requesting staff from other agencies as needed.

Figure 11-1 illustrates the general emergency management system for SWP. The number of entities that would become involved in the management of an SWP emergency depends on the event's severity. For example, a Class 1 emergency would probably not require establishing a DWR Command Center or coordinating with OES' State Operations Center. However, all of the agencies identified in the diagram would be involved in an SWP disaster.

11.11 AREA CONTROL CENTER AND PROJECT OPERATIONS CENTER NOTIFICATION RESPONSIBILITIES

The ACC is responsible for notifying local agencies and the POC. Local entities include appropriate field division personnel, emergency response staff (such as fire, police and county health departments), local property owners, and SWP water contractors. The ACC will also notify local offices of State agencies such as the Department of Fish and Game and CHP. POC is responsible for notifying the dispatchers of other power agencies—Central Valley Project Dispatch Center, OES, FERC, SWP Headquarters, DWR Division of Safety of Dams, and other SWP ACCs as appropriate. The ACC may request assistance from the POC in making necessary calls. On the other hand, the POC may request assistance from the ACC in making the required notifications.

11.12 COORDINATION WITH THE OFFICE OF EMERGENCY SERVICES

The OES Director is assisted by representatives from other State agencies. This assistance constitutes the State Emergency Management Staff. DWR's Director is the Department's representative to the State Emergency Management Staff. During a "significant emergency," O&M will locate, assess, and report SWP damage to the OES State Operations Center. If appropriate, O&M will also identify damage to field division buildings, request an assessment by the Division of Engineering, and report the results to OES.

11.12.1 MUTUAL AID REGIONS

The mutual aid concept is based on "neighbor helping neighbor" (OES 2001). The mutual aid system provides a mechanism for cities, counties, and the State to assist each other in times of emergencies and disasters. The State is divided into 6 mutual aid regions, and OES maintains an office in each region. The Mutual Aid Regional offices are responsible for

carrying out OES programs at the local level and for maintaining working relationships with local emergency management organizations. In addition to emergency managers, staff members from other OES divisions—Law Enforcement, Fire and Rescue, Telecommunications, and Hazardous Material—are assigned to the regions.

During an emergency, the Mutual Aid Region offices are responsible for staffing their emergency operation centers, collecting local damage assessment information, and working with the affected areas in response and recovery efforts.

11.13 PUBLIC INFORMATION AND NEWS MEDIA ASSISTANCE

The DWR Office of Water Education (OWE) is the designated contact for communication with news media and the public during emergencies. The management of OWE recognizes that its staff will not be able to respond quickly enough to help field divisions handle media inquiries during the 1st hours of an emergency. Each field division will designate and train staff to act as crisis information contacts who will provide information to the public and the media during the initial phases of the emergency.

One person is designated as the primary contact, another as the secondary contact. These contacts will be trained to interact with OWE, news media, and the public. The crisis information contacts for field divisions are listed in the appropriate EAP section. Each field division will provide the ACC and the POC with the names of crisis information contacts and the means for contacting them to respond to media inquiries in a timely manner. Inquiries from the public or news media regarding the emergency should be directed to the crisis information contact.

At the onset of an emergency, the crisis information contact should immediately call the OWE chief to determine if the situation warrants sending public information staff to the field division to assist in crisis communication. The OWE chief will also discuss the need to document the situation through videotape or photography. The crisis information contact will be responsible for updating OWE on the status of the emergency. Close communication between the field division and OWE

is vital. Information released to the media by OWE and SWP headquarters should be consistent with reports from field divisions.

All OWE information officers maintain a list of all field division crisis information contacts and their office and home phone numbers. OWE staff may call the contacts for firsthand information or, when necessary, to determine the latest state of the emergency conditions. Crisis information contacts also maintain a list of OWE chief and information officers and their office and home phone numbers. OWE information officers and the crisis information contacts are expected to keep a copy of the list at the office and at home. OWE is responsible for annually updating the list of crisis information contacts.

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